

## Appendix B

### YEAR 2000 WORKSHEET

The following are issues surrounding Year 2000 that your relationship manager will be discussing with you in the near future. Please note that this worksheet should not be used and is not intended to be used by you to determine whether your company needs to enlist assistance in assessing and addressing your company's Year 2000 preparedness and/or exposure. For answers and assistance regarding Year 2000 questions, you should contact qualified professionals of your choice.

Circle <u>Response</u>	ISSUE IDENTIFICATION
Y   N   N/A	<ul style="list-style-type: none"> <li>• Has your company begun its assessment of the scope of being Year 2000 compliant?</li> </ul>
Y   N   N/A	<ul style="list-style-type: none"> <li>• Are your following systems capable and ready to handle Year 2000 processing?               <ul style="list-style-type: none"> <li>• Information processing (hardware and software)</li> <li>• Delivery (telecommunication and transportation)</li> <li>• Manufacturing (robotics, lighting, heat, water supplies)</li> <li>• Real estate (HVAC, security, card access, elevators)</li> <li>• Support (insurance, license, automatic inventory control)</li> </ul> </li> </ul>
Y	<ul style="list-style-type: none"> <li>• For each "No" answer to the last question, which systems need to be modified to handle year 2000 processing?               <ul style="list-style-type: none"> <li>• Information processing</li> <li>• Delivery</li> <li>• Manufacturing</li> <li>• Real estate</li> <li>• Support</li> </ul> </li> </ul>
Y   N   N/A	<ul style="list-style-type: none"> <li>• Has any vendor of any of the above advised that they will not make their system Year 2000 compliant? Please specify.</li> </ul>
Y   N   N/A	<ul style="list-style-type: none"> <li>• If outside data processing service bureaus are used, have they been verified for Year 2000 compliance and a testing time frame established?</li> </ul>
	<ul style="list-style-type: none"> <li>• Do you have any ongoing or long term contracts that could subject you to liability if you failed to perform as a result of a Year 2000 compliance failure?</li> </ul>
	<b>SPONSORSHIP/MONITORING</b>
Y   N   N/A	<ul style="list-style-type: none"> <li>• Has your company assigned overall responsibility for the Year 2000 effort to a senior manager?</li> </ul>
Y   N   N/A	<ul style="list-style-type: none"> <li>• Does the process include regular reporting to and monitoring by senior management?</li> </ul>
Y   N   N/A	<ul style="list-style-type: none"> <li>• Does the process include regular reporting to and monitoring by the Board?</li> </ul>

			<b>OVERALL PLAN</b>								
			<ul style="list-style-type: none"> <li>Does your company have a Year 2000 problem resolution process that includes:</li> </ul>			<ul style="list-style-type: none"> <li>Has your company discussed a Year 2000 problem resolution process that includes (Awareness, assessment, renovation, etc.):</li> </ul>					
						<div> <div>With Key Suppliers</div> <div>With Key Customers</div> </div>					
Y	N	N/A	<ul style="list-style-type: none"> <li>Awareness of the problem</li> </ul>			Yes	No	N/A	Yes	No	N/A
Y	N	N/A	<ul style="list-style-type: none"> <li>Inventory check list*</li> </ul>			Yes	No	N/A	Yes	No	N/A
Y	N	N/A	<ul style="list-style-type: none"> <li>Assessment of complexity</li> </ul>			Yes	No	N/A	Yes	No	N/A
Y	N	N/A	<ul style="list-style-type: none"> <li>Remediation</li> </ul>			Yes	No	N/A	Yes	No	N/A
Y	N	N/A	<ul style="list-style-type: none"> <li>Validation/Testing</li> </ul>			Yes	No	N/A	Yes	No	N/A
Y	N	N/A	<ul style="list-style-type: none"> <li>Implementation</li> </ul>			Yes	No	N/A	Yes	No	N/A
			*Complete list of equipment, software, etc., that may be affected by the Year 2000 issue								
Y	N	N/A	<ul style="list-style-type: none"> <li>Has your company discussed the Year 2000 issue with its major suppliers, service providers or customers in terms of any system interfaces that may exist between them?</li> </ul>								
			<b>RESOURCE ISSUES</b>								
Y	N	N/A	<ul style="list-style-type: none"> <li>Has your company established a budget for the Year 2000 effort (determined how much and how the expenditures will be financed)?</li> </ul>								
Y	N	N/A	<ul style="list-style-type: none"> <li>Has your company assigned adequate personnel resources to the project?</li> </ul>								
Y	N	N/A	<ul style="list-style-type: none"> <li>Has your company discussed potential legal ramifications or expenses with its attorney?</li> </ul>								
Y	N	N/A	<ul style="list-style-type: none"> <li>Will your company's CPA firm help in this task?</li> </ul>								
Y	N	N/A	<ul style="list-style-type: none"> <li>Has your company hired a consultant to assist with Year 2000 issues?</li> </ul>								
			<b>TIMING</b>								
Y	N	N/A	<ul style="list-style-type: none"> <li>Has your company established project target dates and deliverables for the Year 2000 effort?</li> </ul>								
			<ul style="list-style-type: none"> <li>By what date does your company's Year 2000 plan call for the renovation and testing of all mission critical systems to be largely completed? Date _____</li> </ul>								
			<ul style="list-style-type: none"> <li>By what date will contingency plans for mission critical systems be in place? Date _____</li> </ul>								

**Year 2000  
Customer Evaluation**

Customer Name: \_\_\_\_\_ Rel Mgr/Mail Code: \_\_\_\_\_  
Obligor #: \_\_\_\_\_ Date: \_\_\_\_\_

*Instructions: Complete the evaluation based on responses to the Customer Questionnaire, Customers rated "High" or "Medium" require quarterly follow-up until their "Status" is rated "I". Forward a copy of completed forms to Loan Administration. Retain a copy of this form in the Credit File.*

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**1. Rate the company's sensitivity to Year 2000 risk based on the following information about the company's operations:**

**High                  Medium                  Low                  (circle one)**

**High**

- a. Could not conduct its business  
If it did not have computers, or
- b. Operates in computer-related  
industry, or
- c. Has major customers, suppliers,  
or vendors which meet (a) or (b)  
above.

**Medium**

- a. Computers only used in  
financial, accounting, and  
recordkeeping functions, or
- b. Has customers or suppliers  
that are systems impacted

**Low**

- a. Minimal reliance on  
computers to conduct its  
business

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**2. Rate the status of the company's Year 2000 implementation on the following scale (1-6, with 1 representing most progress to 6 representing least progress):**

**1    2    3    4    5    6**  
**(circle one)**

- 1. Has Year 2000 plan with budget, implementation dates in place
  - Plan has senior management (and Board) support and regular reporting on status.
  - Plan is evidenced by material progress toward testing and implementation
  - Year 2000 issues have been discussed with information system vendors, key customers, and suppliers
- 2. Has Year 2000 plan with budget, implementation dates in place
  - Limited action taken on plan implementation to date
- 3. Has preliminary Year 2000 plan and budget drafted but not finalized and approved
  - Very limited or no action taken to date
- 4. Aware of Year 2000 issue and intends to draft a plan but has not begun
- 5. Not fully aware of Year 2000 issue
- 6. No intention of completing a Year 2000 plan